**Subrecipient Qualification Form**

If a subrecipient will be named in a prime proposal, this form must be completed and signed by the UA Principal Investigator and submitted to SPCS as a proposal attachment when the prime sponsor proposal is submitted through UAR. This ensures that the prime award will be properly structured and there will be no barriers to flowing funds to subrecipients. This form must also be submitted to Subaward Services with the subaward initiation documentation. This certification and the supporting documentation you retain will be required in the event of a federal audit.

SPCS - Subaward Services

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| UAR Proposal Doc. #       ***or*** UA Financials Account #       |
| UA PI:       |  |
| Subrecipient:       | Subrecipient PI:       |

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| **A. Subrecipient vs. Vendor Determination**  |
| 1. Please assess the characteristics of the role of the contributing entity, checking only those boxes that apply. Boxes in both columns may be checked.
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| Subrecipient[ ]  The subrecipient’s statement of work represents an intellectually, scholarly significant portion of the programmatic effort to the overall project[ ]  The contribution of the subrecipient is uniquely designed in response to each project[ ]  The subrecipient technical lead is a scientific collaborator, or even a co-investigator on the UA project[ ]  The subrecipient participates in the development of the overall project statement of work[ ]  The subrecipient’s results are likely to be published in the scientific literature independently, and/or the subrecipient is likely to be a co-author on a UA publication | Vendor (Contractor)[ ]  Vendor provides the goods or services within normal business operation and to many different purchasers[ ]  Vendor competes against other entities providing the same or similar goods or services[ ]  Vendor performs a series of repetitive tests or activities requiring little or no discretionary judgement[ ]  Vendor technical lead makes contributions that do not result in qualifying as a co-author on UA publications, or that do not warrant independent publication in scholarly journals [ ]  Vendor submits a bid in response to UA’s definition of the scope of work to be performed |
| 1. Based upon the above analysis, the contributing entity is judged to be a

[ ]  Subrecipient – please proceed with completion of this form.[ ]  Vendor (Contractor) – please file this form for reference at time of award. Please include this work as a service in the proposal budget, with appropriate F&A costs, and contact PACS for assistance with a vendor/services agreement at time of award. |
| **B. Sole Source Justification** |
| 1. Please choose of one of the two options below:

[ ]  Subrecipient’s proposal is included in UA’s proposal package to the prime sponsor and is evaluated by the prime sponsor along with UA as part of the overall selection process conducted pursuant to the sponsor’s guidelines. Sponsor’s award of this proposal indicates that the technical aspects of the subrecipient’s proposal are acceptable, and therefore, this subrecipient is the logical and justifiable choice for this subaward. ***Please skip the remaining questions in Sec. B and proceed to Sec. C***[ ]  The subrecipient’s proposal is not included in UA’s proposal package to the prime sponsor. |
| 1. Were competitive bids sought?

[ ]  Yes – Please retain in your file the documentation that evidences the competitive bid process, including justification for why the other sources could not be used, for a period of seven years, if we receive the prime award and proceed with this subaward. You may be required to produce this data in the event of an audit. ***Please skip the remaining questions in Sec. B and proceed to Sec. C***[ ]  No |
| 1. Provide specific justification for selecting the subrecipient on a sole source basis by answering the following questions.
2. Based on what expertise or resource was this particular subrecipient selected to perform this work?
3. Why is this particular subrecipient’s expertise or resource critical to the project?
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| **C. Cost/Price Analysis** |
| All costs proposed by the subrecipient under this subaward were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scoped of work. Items reviewed include:* Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work
* Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes
* Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
* Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, a 10% *de minimus* indirect cost rate (8% for foreign recipients with an NIH prime), if allowed, or 0%.

[ ]  Yes[ ]  No – Please explain:      ***Please retain supporting documentation for the above certifications in departmental files for seven years if we receive the prime award and proceed with this subaward. You may be required to produce this documentation in the event of an audit.*** |
| **D. UA Conflict of Interest**  |
| Do you or a relative (spouse, partner, child (including step), parent, grandparent, in-laws, siblings and their in-laws), or any UA staff involved in this project or their relatives have a personal or financial interest in the proposed subrecipient organization?[ ]  No[ ]  Yes – Please contact the Conflict of Interest Program at coi.arizona.edu immediately. The proposal cannot be submitted listing this entity as a subrecipient unless SPCS receives approval from the Conflict of Interest Program to proceed.  |
| **E. Principal Investigator Certification** |
| I certify that the information and responses I have provided above are, to the best of my knowledge, an accurate assessment of the subrecipient’s qualifications, and an accurate representation of the processes used to select the subrecipient and of my relationship to the subrecipient.Signature \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:       |